

FORM PTO-1449

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.  
231/003SERIAL NO.  
08/982,272APPLICANT:  
Kipps et al.FILING DATE:  
December 1, 1997GROUP:  
1642 1644

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
AA						
AB						
AC						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION
						YES NO
AD						
AE						
AF						

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

PG	AG	Nadler, Lee M., "The Malignant Lymphomas," <i>Harrison's Principles of Internal Medicine</i> , Wilson et al., eds., McGraw-Hill, New York, Chapter 302, pp. 1599-1612
	AH	Thomas, J. Alero et al., "Epstein-Barr Virus-Associated Lymphoproliferative Disorders in Immunocompromised Individuals," <i>Advances in Cancer Research</i> , Woude et al., eds., Academic Press, Inc., 57:329-380 (1991)
	AI	Fanslow, William C. et al., "Structural characteristics of CD40 ligand that determine biological function," <i>Seminars in Immunology</i> , 6:267-278 (1994)
	AJ	Armitage, Richard J. et al., "Molecular and biological characterization of a murine ligand for CD40," <i>Nature</i> , 357:80-82 (1992)
	AK	Hollenbaugh, Diane et al., "The human T cell antigen gp39, a member of the TNF gene family, is a ligand for the CD40 receptor: expression of a soluble form of gp39 with B cell co-stimulatory activity," <i>The EMBO Journal</i> , 11:4313-4321 (1992)
	AL	Zhang, Haidi et al., "Amelioration of Collagen-induced Arthritis by CD95 (Apo-1/Fas)-ligand Gene Transfer," <i>J. Clin. Invest.</i> , 100:1951-1957 (1997)
	AM	Wiley, James A. et al., "Exogenous CD40 Ligand Induces a Pulmonary Inflammation Response," <i>Journal of Immunology</i> , 158:2932-2938 (1997)
	AN	Tracey, Kevin J. et al., "TUMOR NECROSIS FACTOR: A Pleiotropic Cytokine and Therapeutic [sic] Target," <i>Annu. Rev. Med.</i> , 45:491-503 (1994)
	AO	Galle, Peter R. et al., "Involvement of the CD95 (APO-1/Fas) Receptor and Ligand in Liver Damage," <i>J. Exp. Med.</i> , 182:1223-1230 (1995)
	AP	Sato, Ken et al., "An aggressive nasal lymphoma accompanied by high levels of soluble Fas ligand," <i>British Journal of Haematology</i> , 94:379-382 (1996)
RE	AQ	van Oers, M. H. J. et al., "Expression and Release of CD27 in Human B-Cell Malignancies," <i>Blood</i> , 82:3430-3436 (1993)

EXAMINER:

PHILIP GAMBEL 2/25/99

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MS	AR	Smith, Matthew M. et al., "Rapid Identification of Highly Active and Selective Substrates for Stromelysin and Matrilysin Using Bacteriophage Peptide Display Libraries," <u>The Journal of Biological Chemistry</u> , 270:6440-6449 (1995)
	AS	Nagase, H. et al., "Human Matrix Metalloproteinase Specificity Studies Using Collagen Sequence-Based Synthetic Peptides," <u>Biopolymers (Peptide Science)</u> , 40:399-416 (1996)
	AT	Cantwell, Mark J. et al., "Adenovirus Vector Infection of Chronic Lymphocytic Leukemia B Cells," <u>Blood</u> , 88:4676-4683 (1996)
	AU	Woll, P. J. et al., "Gene therapy for lung cancer," <u>Annals of Oncology</u> , 6 Suppl. 1:S73-S77 (1995)
	AV	Smith, K. T. et al., "Gene delivery systems for use in gene therapy: an overview of quality assurance and safety issues," <u>Gene Therapy</u> , 3:190-200 (1996)
	AW	Cooper, Mark J., "Noninfectious Gene Transfer and Expression Systems for Cancer Gene Therapy," <u>Seminars in Oncology</u> , 23:172-187 (1996)
	AX	Shaughnessy, Elizabeth et al., "Parvoviral Vectors for the Gene Therapy of Cancer," <u>Seminars in Oncology</u> , 23:159-171 (1996)
	AY	Glorioso, J. C. et al., "Development and application of herpes simplex virus vectors for human gene therapy," <u>Annu. Rev. Microbiol.</u> , 49:675-710 (1995)
	AZ	Flotte, T. R. et al., "Adeno-associated virus vectors for gene therapy," <u>Gene Therapy</u> , 2:357-362 (1995)
	BA	Randrianarison-Jewtoukoff, Voahangy et al., "Recombinant Adenoviruses as Vaccines," <u>Biologicals</u> , 23:145-157 (1995)
	BB	Kohn, Donald B., "The current status of gene therapy using hematopoietic stem cell," <u>Current Opinion in Pediatrics</u> , 7:56-63 (1995)
	BC	Vile, R. G. et al., "Retroviruses as vectors," <u>British Medical Bulletin</u> , 51:12-30 (1995)
	BD	Russell, Stephen J., "Replicating vectors for cancer therapy: a question of strategy," <u>Seminars in Cancer Biology</u> , 5:437-443 (1994)
	BE	Ali, Munaf et al., "The use of DNA viruses as vectors for gene therapy," <u>Gene Therapy</u> , 1:367-384 (1994)
	BF	Tesselaar, Kiki et al., "Characterization of Murine CD70, the Ligand of the TNF Receptor Family Member CD27," <u>The Journal of Immunology</u> , 159:4959-4965 (1997)
	BG	Peitsch, Manuel C. et al., "A 3-D model for the CD40 ligand predicts that it is a compact trimer similar to the tumor necrosis factors," <u>International Immunology</u> , 5:233-238 (1993)
	BH	Horton, Robert M., "PCR-mediated Recombination and Mutagenesis," <u>Molecular Biotechnology</u> , 3:93-99 (1995)
MS	BI	Ali, Stuart Alvaro et al., "PCR-Ligation-PCR Mutagenesis: A Protocol for Creating Gene Fusions and Mutations," <u>BioTechniques</u> , 18:746-750 (1995)

EXAMINER:

Philip Gambel 2/1/99

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LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		
APPLICANT: Kipps et al.		
FILING DATE: December 1, 1997		GROUP: 1642-1644
(Use several sheets if necessary)		



OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
PL	BJ	Vilardaga, J. P. et al., "Improved PCR Method for High-Efficiency Site-Directed Mutagenesis Using Class 2S Restriction Enzymes," <u>BioTechniques</u> , 18:604-606 (1995)
1	BK	Majumder, Kumud et al., "Background-minimized Cassette Mutagenesis by PCR Using Cassette-specific Selection Markers: A Useful General Approach for Studying Structure-Function Relationships of Multisubstrate Enzymes," <u>PCR Methods and Applications</u> , 4:212-218 (1995)
	BL	Boles, Eckhard et al., "A rapid and highly efficient method for PCR-based site-directed mutagenesis using only one new primer," <u>Curr. Genet.</u> , 28:197-198 (1995)
	BM	Vallejo, Abbe N. et al., "In Vitro Synthesis of Novel Genes: Mutagenesis and Recombination by PCR," <u>PCR Methods and Applications</u> , 4:S123-S130 (1994)
	BN	Henkel, Thomas et al., "Functional Analysis of Mutated cDNA Clones by Direct Use of PCR Products in <i>In Vitro</i> Transcription/Translation Reactions," <u>Analytical Biochemistry</u> , 214:351-352 (1993)
	BO	Tessier, Daniel C. et al., "PCR-Assisted Large Insertion/Deletion Mutagenesis," <u>BioTechniques</u> , 15:498-501 (1993)
	BP	Morrison, Hilary G. et al., "A PCR-Based Strategy for Extensive Mutagenesis of a Target DNA Sequence," <u>BioTechniques</u> , 14:454-457 (1993)
	BQ	Cadwell, R. Craig et al., "Randomization of Genes by PCR Mutagenesis," <u>PCR Methods and Applications</u> , 2:28-33 (1992)
	BR	Stappert, Jörg et al., "A PCR method for introducing mutations into cloned DNA by joining an internal primer to a tagged flanking primer," <u>Nucleic Acids Research</u> , 20:624 (1992)
	BS	Kunkel, Thomas A., "Rapid and efficient site-specific mutagenesis without phenotypic selection," <u>Proc. Natl. Acad. Sci. USA</u> , 82:488-492 (1985)
	BT	Kunkel, Thomas A. et al., "Rapid and Efficient Site-Specific Mutagenesis without Phenotypic Selection," <u>Methods in Enzymology</u> , 154:367-382 (1987)
	BU	Okayama, Hiroto and Paul Berg, "A cDNA Cloning Vector That Permits Expression of cDNA Inserts in Mammalian Cells," <u>Molecular and Cellular Biology</u> , 3:280-289 (1983)
	BV	Cosman, David et al., "Cloning, sequence and expression of human interleukin-2 receptor," <u>Nature</u> , 312:768-771 (1984)
	BW	Berman, Joan W. et al., "Gene transfer in lymphoid cells: Expression of the Thy-1.2 antigen by Thy-1.1 BW5147 lymphoma cells transfected with unfractionated cellular DNA," <u>Proc. Natl. Acad. Sci. USA</u> , 81:7176-7179 (1984)
	BX	Deans, Robert J. et al., "Expression of an immunoglobulin heavy chain gene transfected into lymphocytes," <u>Proc. Natl. Acad. Sci. USA</u> , 81:1292-1296 (1984)
	BY	Brody, Steven L. et al., "Adenovirus-mediated <i>In Vivo</i> Gene Transfer," <u>Ann. N. Y. Acad. Sci.</u> , 716:90-103 (1994)
PL	BZ	Srivastava, Arun, "Parvovirus-Based Vectors for Human Gene Therapy," <u>Blood Cells</u> , 20:531-538 (1994)
EXAMINER: P. H. M. P. G. M. M. 1/15/99		DATE CONSIDERED:
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
MA	CA	Jolly, Douglas, "Viral vector systems for gene therapy," <u>Cancer Gene Therapy</u> , 1:51-64 (1994)
	CB	Russell, S. J., "Replicating Vectors for Gene Therapy of Cancer: Risks, Limitations and Prospects," <u>European Journal of Cancer</u> , 30A:1165-1171 (1994)
	CC	Yee, Jiing-Kuan et al., "Generation of High-Tier Pseudotyped Retroviral Vectors with Very Broad Host Range," <u>Methods in Cell Biology</u> , Chapter 5, 43:99-112 (1994)
	CD	Boris-Lawrie, Kathleen A. et al., "Recent advances in retrovirus vector technology," <u>Current Opinion in Genetics and Development</u> , 3:102-109 (1993)
	CE	Tolstoshev, Paul, "Gene therapy, concepts, current trials and future directions," <u>Annu. Rev. Pharmacol. Toxicol.</u> , 33:573-596 (1993)
	CF	Carter, Barrie J., "Adeno-associated virus vectors," <u>Current Opinion in Biotechnology</u> , 3:533-539 (1992)
	CG	Raper, Steven E. et al., "Safety and Feasibility of Liver-Directed <i>Ex Vivo</i> Gene Therapy for Homozygous Familial Hypercholesterolemia," <u>Annals of Surgery</u> , 223:116-126 (1996)
	CH	Lu, Li et al., "Stem cells from bone marrow, umbilical cord blood and peripheral blood for clinical application: current status and future application," <u>Critical Reviews in Oncology/Hematology</u> , 22:61-78 (1996)
	CI	Koç, Omer N. et al., "Transfer of Drug Resistance Genes Into Hematopoietic Progenitors to Improve Chemotherapy Tolerance," <u>Seminars in Oncology</u> , 23:46-65 (1996)
	CJ	Fisher, Lisa J. et al., " <i>In vivo</i> and <i>ex vivo</i> gene transfer to the brain," <u>Current Opinion in Neurobiology</u> , 4:735-741 (1994)
	CK	Goldspiel, Barry R. et al., "Human gene therapy," <u>Clinical Pharmacy</u> , 12:488-505 (1993)
	CL	Dilloo, Dagmar et al., "CD40 Ligand Induces an Antileukemia Immune Response <i>In Vivo</i> ," <u>Blood</u> , 90:1927-1933 (1997)
	CM	Schultze, Joachim L. et al., "Autologous Tumor Infiltrating T Cells Cytotoxic for Follicular Lymphoma Cells Can Be Expanded <i>In Vitro</i> ," <u>Blood</u> , 89:3806-3816 (1997)
	CN	Danko, Istvan et al., "Direct gene transfer into muscle," <u>Vaccine</u> , 12:1499-1502 (1994)
	CO	Raz, Eyal et al., "Systemic immunological effects of cytokine genes injected into skeletal muscle," <u>Proc. Natl. Acad. Sci. U.S.A.</u> , 90:4523-4527 (1993)
	CP	Davis, Heather L. et al., "Direct Gene Transfer into Skeletal Muscle <i>In Vivo</i> : Factors Affecting Efficiency of Transfer and Stability of Expression," <u>Human Gene Therapy</u> , 4:151-159 (1993)
NC	CQ	Sugaya, Susumu et al., "Inhibition of Tumor Growth by Direct Intratumoral Gene Transfer of Herpes Simplex Virus Thymidine Kinase Gene with DNA-Liposome Complexes," <u>Human Gene Therapy</u> , 7:223-230 (1996)

EXAMINER: Philip Gamber 2/27/99	DATE CONSIDERED:
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PC	CR	Prentice, Howard et al., "Ischemic/Reperfused Myocardium Can Express Recombinant Protein Following Direct DNA or Retroviral Injection," <i>J. Mol. Cell Cardiol.</i> , 28:133-140 (1996)
	CS	Soubrane, C. et al., "Direct Gene Transfer of a Plasmid Carrying the Herpes Simplex Virus-Thymidine Kinase Gene (HSV-TK) in Transplanted Murine Melanoma: <i>In Vivo</i> Study," <i>European Journal of Cancer</i> , 32A:691-695 (1996)
	CT	Kass-Eisler, Alyson et al., "Prospects for Gene Therapy with Direct Injection of Polynucleotides," <i>Ann. N. Y. Acad. Sci.</i> , 772:232-240 (1995)
	CU	DeMatteo, Ronald P. et al., "Gene Transfer to the Thymus," <i>Annals of Surgery</i> , 222:229-242 (1995)
	CV	Addison, Christina L. et al., "Intratumoral injection of an adenovirus expressing interleukin 2 induces regression and immunity in a murine breast cancer model," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 92:8522-8526 (1995)
	CW	Hengge, Ulrich R. et al., "Expression of Naked DNA in Human, Pig, and Mouse Skin," <i>Journal of Clinical Investigation</i> , 97:2911-2916 (1996)
	CX	Felgner, Philip L. et al., "Improved Cationic Lipid Formulations for <i>In Vivo</i> Gene Therapy," <i>Ann. N. Y. Acad. Sci.</i> , 772:126-139 (1995)
	CY	Furth, Priscilla A. et al., "Gene Transfer into Mammalian Cells by Jet Injection," <i>Hybridoma</i> , 14:149-152 (1995)
	CZ	Vile, R.G. et al., "Targeting of cytokine gene expression to malignant melanoma cells using tissue specific promoter sequences," <i>Annals of Oncology</i> , 5 Suppl 4:S59-S65 (1994)
	DA	Yovandich, Jason et al., "Gene Transfer to Synovial Cells by Intra-Articular Administration of Plasmid DNA," <i>Human Gene Therapy</i> , 6:603-610 (1995)
	DB	Spessot, Robert, "Cloning of the Herpes Simplex Virus ICP4 Gene in an Adenovirus Vector: Effects on Adenovirus Gene Expression and Replication," <i>Virology</i> , 168:378-387 (1989)
	DC	Graham, Frank L. et al., "Manipulation of Adenovirus Vectors," <i>Methods in Molecular Biology</i> , Vol. 7, Chapter 11, pp. 109-128 (1991)
	DD	Sambrook, J. et al., "Standard Protocol for Calcium Phosphate-mediated Transfection of Adherent Cells," <i>Molecular Cloning, A Laboratory Manual</i> , 2d edition, Chapter 16:33-37 (1989)
	DE	Cantwell, Mark et al., "Acquired CD40-ligand deficiency in chronic lymphocytic leukemia," <i>Nature Medicine</i> , 3:984-989 (1997)
	DF	Kipps, Thomas J. et al., "New developments in flow cytometric analyses of lymphocyte markers," <i>Laboratory Immunology II</i> , 12:237-275 (1992)
	DG	Rassenti, Laura Z. et al., "Lack of Allelic Exclusion in B Cell Chronic Lymphocytic Leukemia," <i>J. Exp. Med.</i> , 185:1435-1445 (1992)
PC	DH	Ranheim, Eric A. et al., "Activated T Cells Induce Expression of B7/BB1 on Normal or Leukemic B Cells through a CD40-dependent Signal," <i>J. Exp. Med.</i> , 177:925-935 (1993)

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 PATENT & TRADEMARK OFFICE

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
M	DI	Clark, Edward A. et al., "Activation of human B cells mediated through two distinct cell surface differentiation antigens, Bp35 and Bp50," <i>Proc. Natl. Acad. Sci. U.S.A.</i> , 83:4494-4498 (1986)
I	DJ	Banchereau, Jacques et al., "Long-Term Human B Cell Lines Dependent on Interleukin-4 and Antibody to CD40," <i>Science</i> , 251:70-72 (1991)
I	DK	Bliden, Timothy M. et al., "Class-I MHC Expression in the Mouse Lung Carcinoma, Line 1: A Model for Class-I Inducible Tumors," <i>Int. J. Cancer Suppl.</i> , 6:82-89 (1991)
I	DL	Kouskoff, Valerie et al., "Organ-Specific Disease Provoked by Systemic Autoimmunity," <i>Cell</i> , 87:811-822 (1997)
M	DM	Evan, Christopher et al., "Clinical Trial to Assess the Safety, Feasibility, and Efficacy of Transferring a Potentially Anti-Arthritic Cytokine Gene to Human Joints with Rheumatoid Arthritis," <i>Human Gene Therapy</i> , Vol. 7, pp. 1261-1280 (1996)

EXAMINER: <i>Patricia Gandy 2/25/98</i>	DATE CONSIDERED:
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M	AA 5,565,321	10/15/96	Spriggs et al.			
	AB 5,540,926	7/30/96	Aruffo et al.			
	AC 5,606,023	2/25/97	Chen et al.			
	AD 5,519,119	5/21/96	Yamada et al.			
	AE 4,990,455	2/5/91	Yamagishi et al.			
	AF 5,422,104	6/6/95	Fiers et al.			
	AG 5,486,463	1/23/96	Lesslauer et al.			
	AH 5,480,981	1/2/96	Goodwin et al.			
M	AI 5,573,924	11/12/96	Beckmann et al.			

## FOREIGN PATENT DOCUMENTS

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M	AJ WO 93/08207	4/29/93	PCT			
	AK WO 94/17196	8/4/94	PCT			
	AL WO 95/17202	6/29/95	PCT			
	AM WO 94/04570	3/3/94	PCT			
M	AN 0 585 943 A2	3/9/93	EPO			

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